

## COMPLAINT FORM

(IF SUBMITTING BY MAIL, PLEASE TYPE OR PRINT IN INK ONLY)

1. YOUR Name:

Address:

City, State, and Zipcode:

Home Phone:  Business Phone:

Cell Phone:  Fax:

E-mail:

2. Name of FIRM and/or PERSON complained against:

Address:

City, State, and Zipcode:

Phone:

Name of Stockbroker or Salesperson:

3. Type of investment complained about (select all that apply):

Stocks ☐ Bonds ☐ Viaticals ☐ Annuities ☐ Promissory notes ☐ Mutual funds ☐

Other (describe)

4. Dates of investment transaction(s):  to

5. Place of transaction(s); specify the states in which you and the salesperson were located at the time of the transaction:

6. Witnesses to the transaction(s):

7. Amount involved in transaction(s):

8. Did you sign any papers or documents? Yes ☐ No ☐ (*If Yes, please attach copies of them.*)

9. How and when did you first learn about the investment identified in item 3?(for example, ad in newspaper, personal contact, materials in the mail, recommendation by an investment adviser, suggestion from a friend, etc).

10. Have you complained to the Company or Firm? Yes ☐ No ☐

If yes, to whom?  When?

What was the response?

11. Have you contacted other governmental or regulatory agencies? Yes ☐ No ☐

If yes, provide name and address of agency, and the person handling your complaint.

12. Names, telephone numbers and/or addresses of any other known investors:

13. Does an attorney represent you regarding your investment described in item 3?  
Yes ☐ No ☐

If yes, provide attorney's name and address:

14. Have you or any other victims filed a lawsuit against the company or individual identified in item 2? Yes ☐ No ☐

If yes, provide name of state/county/case number/date. ***Attach copies of court documents.***

15. What were you told about the investment identified in item 3? Were any statements false?

16. Did you discuss with anyone your investment objectives and the amount of risk that was acceptable to you regarding the investment identified in item 3? Yes ☐ No ☐

If yes, please specifically describe to whom you spoke, when, and what you said.

17. Are you willing to sign an affidavit or testify regarding your transaction? Yes ☐ No ☐

18. Please explain the entire circumstances surrounding your complaint in the space provided below. If you need more space, attach another sheet of paper. It is important to include all details about the transaction, no matter how unimportant you may think they are. Please be specific about names, dates, or documents. State what part, if any, of the transaction occurred

outside of Arizona. It is better to include too much information, rather than too little information. Describe the type of investment and any documents you received about your investment.

19. If your complaint is against a dealer or salesman, may the Securities Division send a copy of your complaint to the company or individual complained against? Yes ☐ No ☐

20. Declaration: I declare that the information contained in this complaint is true and accurate, to the best of my knowledge, and the information may be used to further investigate the complaint. Note: A.R.S. § 41-1010 requires that a person disclose the person's name to the agency when reporting an alleged violation of the law.

Name:

Date:

Signature: